

## SOFIE sort - Reporting covered

**Informations :** In order to determine the exact type(s) of report(s) your company has to send to the regulations authorities, we advise to contact them first.

Based on their answers you'll be able to determine which package you need to apply for your SOFIE Sort contract. A package, also called a module, is a right permission for a family of reports granted as a yearly licence for 1 entity. SOFIE Sort packages were organised and compiled in order to respond exactly to the various regulators demands and circulars in regard to the Legal Reporting at Luxembourg.

Packages can be added or removed on demand Licences costs are divided as follows : 1 crypt licence by entities From 1 to X transport licences by type of package.

Contact : [reporting@cetrel-securities.lu](mailto:reporting@cetrel-securities.lu)

### Insurance corporations

Report	Full name	Related information	Circular	Package
S 2.18 L	Quarterly statistical balance for insurance corporations	<a href="#">BCL</a>	<a href="#">2015/239</a>	INST
S 2.19 L	Information on valuation effect on the balance sheet of insurance corporations	<a href="#">BCL</a>	<a href="#">2015/239</a>	INST
S 4.3 L	Annual premiums, claims and commissions of insurance corporations	<a href="#">BCL</a>	<a href="#">2015/239</a>	INST
TPTASS	Security by security reporting of insurance corporations	<a href="#">BCL</a>	<a href="#">2015/239</a>	INST
CPR	Progress report	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
RAC	Actuarial report	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
RDI	Auditor's report	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
RGO	Governance report	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
RLB	LBCFT report	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
RRE	Reports on complaints handling	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
ESP	Specific inquiries	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
SII	Solvency II	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT
ETR	Quarterly statement	<a href="#">CAA</a>	<a href="#">15/10</a>	CAAT

### Investment funds

Report	Full name	Related information	Circular	Package
S 1.3 & S2.13	Statistical balance sheet for investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
S 1.6	Information on valuation effects on the balance sheet for non monetary investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
TPTOBS	Security by security reporting for investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
O 1.2	Monthly financial information for guaranteed funds	<a href="#">CSSF</a>	<a href="#">97/136</a>	OPCT
U 1.1	Monthly financial information	<a href="#">CSSF</a>	<a href="#">15/627</a>	FDPs

### AIFM - Alternative investment funds

Report	Full name	Related information	Circular	Package
AIFM	AIFM reporting file	<a href="#">CSSF</a>	<a href="#">14/581</a>	AIFT
AIF	AIF reporting file	<a href="#">CSSF</a>	<a href="#">14/581</a>	AIFT

### Financial companies

Report	Full name	Related information	Circular	Package
S 2.16	Quarterly statistical balance sheet of financial companies	<a href="#">BCL</a>	<a href="#">2014/17</a>	ISRT/IBST
S 2.17	Transactions of financial companies	<a href="#">BCL</a>	<a href="#">2014/17</a>	ISRT/IBST
TPTIBS	Monthly security by security reporting of financial companies	<a href="#">BCL</a>	<a href="#">2014/17</a>	ISRT/IBST

### Credit institutions

Report	Full name	Related information	Circular	Package
S 0.1	Daily deposit report	<a href="#">BCL</a>	<a href="#">2014/235</a>	RPQT
S 1.1	Monthly statistical balance sheet	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 1.4	Adjustments due to valuation effects	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 1.5	Information on interest rates in EUR	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 1.8	Information on securitisation transactions launched by credit institutions	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 1.9	Information on CNY (renmibi) operations	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 2.5	Quarterly statistical balance sheet	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 2.8	Real estate loans for Luxembourg buildings	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 2.9	Staff	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 3.2	Non balance sheet information	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
S 4.1	Non balance sheet information	<a href="#">BCL</a>	<a href="#">2014/235</a>	FINT
TPTBBL	Balance sheet data – Luxembourg entity	<a href="#">BCL</a>	<a href="#">2014/235</a>	TPTT
TPTBBN	Balance sheet data – Luxembourg entity and its branches	<a href="#">BCL</a>	<a href="#">2014/235</a>	TPTT
TPTBHR	Off-balance sheet data – resident customers	<a href="#">BCL</a>	<a href="#">2014/235</a>	TPTT
TPTBHN	Off-balance sheet data – non resident customers	<a href="#">BCL</a>	<a href="#">2014/235</a>	TPTT
BOP	Cross-border payments executed for the account of the resident counterparts	<a href="#">BCL</a>	<a href="#">2007/216</a>	FINT
V101	Customer transfers	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V102	Interbank transfers	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V103	Domiciliations	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V104	Inventory cards / terminals	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V105	Card transactions (Issuing part)	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V106	Card transactions (Acquiring part)	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V107	Cheques and money orders	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V108	Electronic money scheme	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V109	Card based e-money schemes	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V110	Stock taking of payment accounts in bank money	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V111	OTC cash transactions	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V112	Transactions via telecommunication, digital or IT device	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V113	Credits to the accounts by simple book entry	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
V114	Debits from the account by simple book entry	<a href="#">BCL</a>	<a href="#">2011/9</a>	VIRT
B 1.1	FINREP - Balance sheet statement	<a href="#">CSSF</a>	<a href="#">07/279</a>	FINT

B 1.5	Liquidity ratio	<a href="#">CSSF</a>	<a href="#">07/316</a>	FINT
B 1.6	FINREP - Additional information relating to the balance sheet statement	<a href="#">CSSF</a>	<a href="#">07/279</a>	FINT
B 2.1	FINREP - Income statement	<a href="#">CSSF</a>	<a href="#">07/279</a>	FINT
B 2.4	Information on participating interests and subordinated loans	<a href="#">CSSF</a>	<a href="#">07/316</a>	FINT
B 2.5	FINREP - Additional information relating to the income statement	<a href="#">CSSF</a>	<a href="#">07/279</a>	FINT
B 4.4	List of head offices, agencies, branches and representative offices	<a href="#">CSSF</a>	<a href="#">07/316</a>	FINT
	extended COREP : SCOREP / SLAREX / SLCRXX / SNSFRX / SALMXX CCOREP / CLAREX / CLCRXX / CNSFRX / CALMXX CFINRP / CAEXXX / SAEXXX / CFPXXX / SFPXXX CSBPXX / SSBPXX / CSBPIM / SSBPIM / SFINRP SLCRDA / CLCRDA	<a href="#">CSSF</a>	<a href="#">680/2014</a>	FINT
COFREP				
TAFREP	Transaction in financial instruments reporting (TAF) / MIFID (encoding interface available)	<a href="#">CSSF</a>	<a href="#">07/302</a>	TAF/TAFG
AR	Annual report	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
CO	Compliance Report	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
GR	Governance Respect	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
IA	Internal Audit Report	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
IC	ICAAP	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
LF	Long Form Report	<a href="#">CSSF</a>	<a href="#">15/624</a>	LFML
ML	Management Letter	<a href="#">CSSF</a>	<a href="#">15/624</a>	LFML
RC	Risk Control Report	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
RP	Recovery Plan	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR
SC	Single Customer View	<a href="#">CSSF</a>	<a href="#">15/624</a>	DOCR

#### Securitisation vehicles

Report	Full name	Related information	Circular	Package
S 2.14	Quarterly statistical balance sheet of securitisation vehicles	<a href="#">BCL</a>	<a href="#">2014/236</a>	TTRT
S 2.15	Information on transactions made by securitisation vehicles	<a href="#">BCL</a>	<a href="#">2014/236</a>	TTRT
TPTTBS	Security by security reporting of securitisation vehicles	<a href="#">BCL</a>	<a href="#">2014/236</a>	TTRT

#### Professionals of the financial sector (PFS)

Report	Full name	Related information	Circular	Package
PSFREP	Basic reporting - TAB I BILAN, TAB III.1 HORS BILAN, TAB III.2 PP , TAB 2.9 EFFECTIF	<a href="#">CSSF</a>	<a href="#">05/187</a>	PSFT
PSFREP	Ad hoc reporting - Tables II.1. to II.22. extended COREP : SCOREP / SLAREX / SLCRXX / SNSFRX / SALMXX CCOREP / CLAREX / CLCRXX / CNSFRX / CALMXX CFINRP / CAEXXX / SAEXXX / CFPXXX / SFPXXX CSBPXX / SSBPXX / CSBPIM / SSBPIM / SFINRP SLCRDA / CLCRDA	<a href="#">CSSF</a>	<a href="#">05/187</a>	PSFT
COFREP		<a href="#">CSSF</a>	<a href="#">680/2014</a>	FINT
LF	Long Form Report	<a href="#">CSSF</a>	<a href="#">15/624</a>	LFML
ML	Management Letter	<a href="#">CSSF</a>	<a href="#">15/624</a>	LFML

#### SICAR

Report	Full name	Related information	Circular	Package
SICREP	Table K 3.1	<a href="#">CSSF</a>	<a href="#">08/376</a>	SICT
S 1.3 & S2.13	Statistical balance sheet for investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
S 1.6	Information on valuation effects on the balance sheet for non monetary investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
TPTOBS	Security by security reporting for investment funds	<a href="#">BCL</a>	<a href="#">2014/237</a>	OPCT
U 1.1	Monthly financial information	<a href="#">CSSF</a>	<a href="#">15/627</a>	FDPs

#### Management companies (Chapter 15 & 16)

Report	Full name	Related information	Circular	Package
SGOREP	Quarterly reporting / annual information [financial situation (table SG 1A), profit and loss account (table SG 1B), table regarding the management of UCIs (table SG 1C), table regarding other activities (table SG 2) and quarterly staff figures (table SG Personnel)]	<a href="#">CSSF</a>	<a href="#">10/467</a>	SGOT

#### Payment institutions

Report	Full name	Related information	Circular	Package
Z 1.1	Balance sheet	<a href="#">CSSF</a>	<a href="#">11/511</a>	EDPT
Z 1.2	Identification of third-party funds held and incorporated in the balance sheet	<a href="#">CSSF</a>	<a href="#">11/511</a>	EDPT
Z 1.4	Capital adequacy of payment institutions	<a href="#">CSSF</a>	<a href="#">11/511</a>	EDPT
Z 2.1	Profit and loss account	<a href="#">CSSF</a>	<a href="#">11/511</a>	EDPT

#### Electronic money institutions

Report	Full name	Related information	Circular	Package
W 1.1	Balance sheet	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET
W 1.2	Identification of third-party funds held and incorporated in the balance sheet	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET
W 1.3	Statement of authorised reinvestments	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET
W 1.4	Capital adequacy of electronic money institutions	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET
W 2.1	Profit and loss account	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET
W 4.5	Analysis of shareholdings	<a href="#">CSSF</a>	<a href="#">11/522</a>	EMET

#### Other reporting - Specific enquiries

Report	Full name	Related information	Circular	Package
OTHREP	CSSF - Others - specific inquiries		<a href="#">08/344</a>	ESPT
OTXREP	BCL - Others - specific inquiries		<a href="#">08/344</a>	ESPT